



## UNITED STATES PATENT AND TRADEMARK OFFICE

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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/067,140	02/04/2002	Constantine Tsikos	108-127USANB0

CONFIRMATION NO. 5262

## FORMALITIES LETTER



\*OC000000008060349\*

Thomas J. Perkowski, Esq., P.C.  
Soundview Plaza  
1266 East Main Street  
Stamford, CT 06902

Date Mailed: 05/09/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/14/2002 HHRZ11 00000003 10067140

FILED UNDER 37 CFR 1.53(b)

01 FC:101	740.00 OP
02 FC:102	252.00 OP
03 FC:105	130.00 OP

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- A substitute specification in compliance with 37 CFR 1.52 because:
  - The specification cannot be scanned or properly stored. Page(s)
    - Papers must be legibly written either by a typewriter or mechanical printer in permanent ink or its equivalent in portrait orientation on flexible, strong, smooth, non-shiny, durable, and white paper. Application papers must be presented in a form having sufficient clarity and contrast between the paper and the writing thereon to permit the direct reproduction of readily legible.

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MAY 15 2002

ATTORNEY GENERAL

copies in any number by use of photographic, electrostatic, photo-offset, and microfilming processes and electronic reproduction by use of digital imaging and optical character recognition. Pages 82 are not in compliance with 37 CFR 1.52(a). *The drawings filed are unacceptable because:*

*Replacement page(s), together with a statement that the replacement page(s) contain no new matter, are required.*

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
- Drawings must be reasonably free from erasures and must be free from alterations, overwritings, interlineations, folds, and copy marks.
- drawings submitted to the Office are not electronically reproducible. Drawing sheets must be submitted on paper which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e));

The following item(s) appear to have been **omitted** from the application:

- Figure(s) **1V5** described in the specification.

I. Should applicant contend that the above-noted omitted item(s) was in fact deposited in the U.S. Patent and Trademark Office (USPTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$130.00 petition fee (37 CFR 1.17(h))) with evidence of such deposit **must** be filed within **TWO MONTHS** of the date of this Notice. The petition fee will be refunded if it is determined that the item(s) was received by the USPTO.

II. Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the USPTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$130.00 petition fee (37 CFR 1.17(h))) requesting the later filing date **must** be filed within **TWO MONTHS** of the date of this Notice.

III. The failure to file a petition (and petition fee) under the above options (I) or (II) within **TWO MONTHS** of the date of this Notice (37 CFR 1.181(f)) will be treated as a constructive acceptance by the applicant of the application as deposited in the USPTO. **THIS TWO MONTH PERIOD IS NOT EXTENDABLE UNDER 37 CFR 1.136(a) or (b).** In the absence of a timely filed petition in reply to this Notice, the application will maintain a filing date as of the date of deposit of the application papers in the USPTO, and original application papers (*i.e.*, the original disclosure of the invention) will include only those application papers present in the USPTO on the date of deposit.

In the event that applicant elects not to take action pursuant to options (I) or (II) above (thereby constructively electing option (III)), amendment of the specification to renumber the pages consecutively and cancel incomplete sentences caused by any omitted page(s), and/or amendment of the specification to cancel all references to any omitted drawing(s), relabel the drawing figures to be numbered consecutively (if necessary), and correct the references in the specification to the drawing figures to correspond with any relabelled drawing figures, is required. Any drawing changes should be accompanied by a copy of the drawing figures showing the proposed changes in red ink. Such amendment and/or correction to the drawing figures, if necessary, should be by way of preliminary amendment submitted prior to the first Office action to avoid delays in the prosecution of the application.

#### **Items Required To Avoid Processing Delays:**

The item(s) indicated below are also required and should be submitted with any reply to this notice to avoid further processing delays.

2025-01-14 14:00:00

- Additional claim fees of **\$252** as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

**SUMMARY OF FEES DUE:**

Total additional fee(s) required for this application is **\$1122** for a Large Entity

- **\$740** Statutory basic filing fee.
- **\$130** Late oath or declaration Surcharge.
- Total additional claim fee(s) for this application is **\$252**
  - **\$252** for 3 independent claims over 3.

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*A copy of this notice MUST be returned with the reply.*

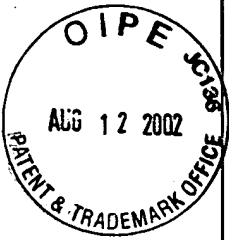
*Y. G.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

202130-04F-3007



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Applicants : Constantine Tsikos et al.  
Application Serial No.: 10/067,140  
Filing Date : February 4, 2002  
Title: : PLANAR LED-BASED ILLUMINATION ARRAY  
(PLIA) CHIPS  
Examiner : not yet assigned  
Group Art Unit : 2876  
Attorney Docket No. : 108-127USANB0

Honorable Commissioner of Patents  
and Trademarks  
Washington, DC 20231

RESPONSE TO NOTICE OF MISSING PARTS OF APPLICATION  
FILING DATE GRANTED

Sir:

In response to the Notice of Missing Parts of Application/Filing Date Granted dated May 9, 2002, Applicants submit herewith the following documents for filing in the above-referenced Application:

- Copy of Combined Declaration of Inventorship And Power of Attorney for prior Application No. 09/954,477;
- Second Preliminary Amendment;
- Substitute Specification, Claims to Invention, and Abstract of Disclosure;
- Declaration Under 1.125;
- Request for Approval of Proposed Changes to the Drawings;
- Forty Six (46) sheets of Redmarked Drawings;
- Submission of Formal Drawings;
- Three Hundred Thirty Three (333) sheets of Formal Drawings;
- Petition for Extension of Time;
- Part 2 of Notice Of Missing Parts Of Application/Filing Date Granted mailed May 9, 2002; and
- Return Receipt Postcard.

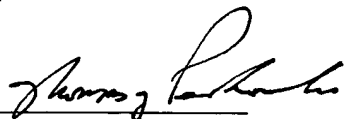
Enclosed in payment of the requisite filing and extension of time fee of \$1232.00 is Thomas J Perkowski, Esq. PC Check No. 3022 in the same amount. The Commissioner is also authorized to charge any fee deficiencies or overpayments to Deposit Account No. 16-1340. A duplicate of this document is enclosed herewith.

Please address all correspondence to the undersigned attorney at the following address:

Thomas J. Perkowski, Esq., P.C.  
Soundview Plaza  
1266 East Main Street  
Stamford, Connecticut 06902

Respectfully submitted,

Dated: August 7, 2002

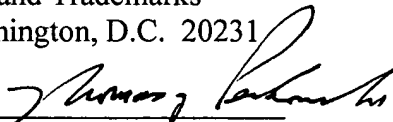


Thomas J Perkowski, Esq.  
Attorney for Applicants  
Reg. No. 33,134  
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1266 East Main Street  
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Thomas J Perkowski, Esq.  
Date: August 7, 2002

#4



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Applicants : Constantine Tsikos et al.  
Application Serial No.: 10/067,140  
Filing Date : February 4, 2002  
Title: : PLANAR LED-BASED ILLUMINATION ARRAY  
(PLIA) CHIPS  
Examiner : not yet assigned  
Group Art Unit : 2876  
Attorney Docket No. : 108-127USANB0

Honorable Commissioner of Patents  
and Trademarks  
Washington, DC 20231

**SUBMISSION OF FORMAL DRAWINGS**

Sir:

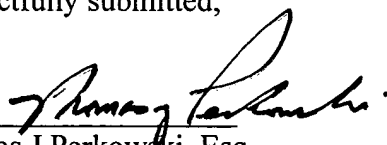
In response to the Notice of Missing Parts mailed May 9, 2002, Applicants submit herewith Three Hundred Thirty Three (333) sheets of Formal Drawings for filing in the present Application.

The Formal Drawings include the changes proposed in the Request for Approval of Proposed Changes to Drawings included herewith.

The Commissioner is hereby authorized to charge any fee deficiencies or credit any overpayments to Deposit Account 16-1340. A copy of this document is submitted herewith.

Respectfully submitted,

Dated: August 7, 2002

  
Thomas J Perkowski, Esq.  
Attorney for Applicants  
Reg. No. 33,134  
Thomas J. Perkowski, Esq., P.C.  
Soundview Plaza  
1266 East Main Street  
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\_\_\_\_\_  
Thomas J Perkowski, Esq.

Reg. No. 3,134

Date: August 7, 2002

#5

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Applicants : Constantine Tsikos et al.  
Application Serial No.: 10/067,140  
Filing Date : February 4, 2002  
Title: : PLANAR LED-BASED ILLUMINATION ARRAY  
(PLIA) CHIPS  
Examiner : not yet assigned  
Group Art Unit : 2876  
Attorney Docket No. : 108-127USANB0

Honorable Commissioner of Patents  
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Washington, DC 20231

**REQUEST FOR APPROVAL OF PROPOSED CHANGES TO THE DRAWINGS**

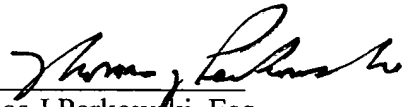
Sir:

Applicants hereby request approval of proposed changes to Fig. 1B1, Fig. 1B5, Fig. 1G15A, Fig. 1G15B, Fig. 1G16B, Fig. 1G17A, Fig. 1I15C Fig. 1I18 (which is mislabeled as a duplicate 1I18A), Fig. 1I19B, Fig. 1I20A, Fig. 1I22, Fig. 1I25I3, Fig. 2E1, Fig. 2F1, Fig. 3D7, Fig. 3G2, Fig. 10, Fig. 12D, Fig. 13A, Fig. 18A, Fig. 18C1, Fig. 18C2, Fig. 25, Fig. 33C, Fig. 34C, Fig. 40A1, Fig. 40A3, Fig. 40A4, Fig. 40A5, Fig. 40B3, Fig. 40B4, Fig. 40B5, Fig. 40C3, Fig. 40C4, Fig. 48A, Fig. 49B, Fig. 53A1, Fig. 53A3, Fig. 53A4, Fig. 53B1, Fig. 53C1, Fig. 53C3, Fig. 59B, Fig. 60B, Fig. 61A and Fig. 68A which are indicated in red ink on the sheets filed herewith.

Applicants also submit herewith formalized drawings, which include the proposed changes, for entry in the present Application upon approval of the proposed changes.

Respectfully submitted,

Dated: August 7, 2002

  
Thomas J Perkowski, Esq.  
Attorney for Applicants  
Reg. No. 33,134  
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\_\_\_\_\_  
Thomas J Perkowski, Esq.

Date: August 7, 2002

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